



UNITED STATES PATENT AND TRADEMARK OFFICE

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COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/972,736	10/05/2001	William Baughman	3271/50

29858
 BROWN, RAYSMAN, MILLSTEIN, FELDER & STEINER LLP
 900 THIRD AVENUE
 NEW YORK, NY 10022

CONFIRMATION NO. 4456
 FORMALITIES LETTER



"OC000000007043640"

Date Mailed: 11/08/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

03/20/2002 SZEWDIE1 00000020 09972736

FILED UNDER 37 CFR 1.53(b)

01 FC:101	740.00 OP
02 FC:105	130.00 OP

Filing Date Granted

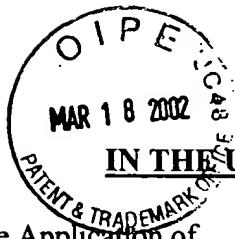
An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 870.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center
 Initial Patent Examination Division (703) 308-1202

TM
 PART 2 - COPY TO BE RETURNED WITH RESPONSE



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : William Baughman et al.

Appln. No. : 09/972,736 Examiner : To be Assigned

Filed : October 5, 2001 Group Art Unit: 2164

Title : INTEGRATED INVESTMENT PORTFOLIO MANAGEMENT
SYSTEM AND METHOD

BOX MISSING PARTS

Commissioner for Patents
Washington, D.C. 20231

**COPY OF PAPERS
ORIGINALLY FILED**

**RESPONSE TO "NOTICE TO FILE MISSING
PARTS OF APPLICATION--FILING DATE GRANTED"**

Sir:

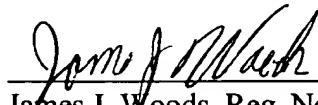
We have received a Notice To File Missing Parts of Application--Filing Date Granted mailed on November 8, 2001. We are returning herewith a copy of that Notice and executed declaration and power of attorney identifying the application by its serial number and filing date.

We are also enclosing herewith a check in the amount of \$1270.00 which includes surcharge fee (\$130.00), extension of time (\$400.00), and filing fee (\$740.00).

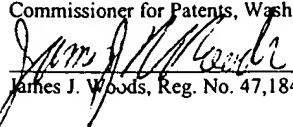
The Commissioner is hereby authorized to charge any additional fees which may be required or credit any overpayment to our Deposit Account No. 02-4270.

Respectfully submitted,

Dated: March 8, 2002


 James J. Woods, Reg. No. 47,184
 BROWN RAYSMAN MILLSTEIN FELDER
 & STEINER LLP
 900 Third Avenue
 New York, New York 10022
 (212) 895-2000

I hereby certify that this paper is being deposited this date with the U.S. Postal Service as First Class Mail addressed to:
 Commissioner for Patents, Washington, D.C. 20231


 James J. Woods, Reg. No. 47,184

3/8/02
 Date

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